

08-30-01

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UTILITY PATENT APPLICATION TRANSMITTAL For non-provisional application under 37 CFR 1.53(b)	Attorney Docket: 1363D/DA01036-D
	Lead Inventor: Fang, et al.
	Title: Flash Memory Device and a Method of Fabrication Thereof
	Express Mail No.: EL815289625US

08/28/01
1c912 U.S. PTO

J1040 U.S. PTO
09/941370
08/28/01

APPLICATION ELEMENTS	Assistant Commissioner for PATENTS Address to: Box Patent Applications Washington, D.C. 20231
1. <input checked="" type="checkbox"/> Fee Transmittal Form PTO/SB/17 2. <input checked="" type="checkbox"/> Specification: Seven (7) pages; <input checked="" type="checkbox"/> Claims: Three (3) pages; <input checked="" type="checkbox"/> Abstract: One (1) page 3. <input checked="" type="checkbox"/> Drawings: Four (4) sheets; 4. <input checked="" type="checkbox"/> Declaration by Inventors: Three (3) pages; a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from Prior Application: 37 CFR 1.63(d)(2) (for Continuation/Divisional: Box 16 completed below) i. <input type="checkbox"/> <u>Deletion of Inventor(s)</u> Signed statement attached deleting inventor(s) named in Prior Application - 37 CFR 1.63(d)(2) and 1.33(b) 5. <input type="checkbox"/> Microfiche Computer Program (Appendix) 6. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary) a. <input type="checkbox"/> Computer Readable Copy b. <input type="checkbox"/> Paper Copy (identical to computer copy) c. <input type="checkbox"/> Statement verifying identity of above copies	ACCOMPANYING APPLICATION PARTS 7. <input type="checkbox"/> Assignment and Recordation Cover 8. <input type="checkbox"/> Statement by Assignee (37 CFR 3.73(b)) <input type="checkbox"/> Power of Attorney 9. <input type="checkbox"/> English Translation (if applicable) 10. <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> PTO Form 1449 <input type="checkbox"/> References 11. <input checked="" type="checkbox"/> Preliminary Amendment 12. <input checked="" type="checkbox"/> Return Receipt Postcard (itemized) 13. <input type="checkbox"/> Small Entity Status Declaration <input type="checkbox"/> Statement filed in Prior Application, status still proper and desired 14. <input type="checkbox"/> Certified Copy of Priority Document(s) 15. Other: <u>Petition for Extension of Time:</u> <u>Fee Payment for Extension of Time.</u> 16. <u>Request and Certification Under 35 USC</u> <u>122(b)(2)(B)(i) (for Non-Publication)</u>

16. **Continuing Application** (check appropriate box and supply requisite information below and in a Preliminary Amendment):

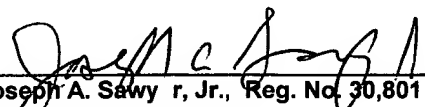
☐ Continuation ☒ Divisional ☐ Continuation-in-Part (CIP) of Prior Application No: 09/595,422
 Prior Application information: Examiner Booth, R. Group Art Unit: 2812 Filing Date: June 15, 2000

For CONTINUATION or DIVISIONAL application only: The entire disclosure of the prior application, from which an Oath or Declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

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Telephone: **(650) 493-4540**
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 Joseph A. Sawyer, Jr., Reg. No. 30,801
 Attorney for Applicant(s)

8/28/01
 Date

Under the Paperwork Reduction Act, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1999. Small Entity payments <u>must</u> be supported by a Small Entity Statement, otherwise, large entity fees must be paid. See Forms PCT/SB/m9-12. See 37 CFR 1.27 and 1.28.		Serial No.:	To be assigned
		Filing Date:	August 28, 2001
		Inventor:	Fang, et al.
		Examiner:	To be assigned
		Group Art Unit:	To be assigned
TOTAL AMOUNT OF PAYMENT	\$710.00	Attorney Docket:	DA01036-D/1363D

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)																																																	
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge all fees and credit any overpayment associated with this communication to: Deposit Account No: <u>01-0365</u> Name: AMD Corporation <input checked="" type="checkbox"/> Charge any additional fees required under 37 CFR 1.16 and 1.17.		3. ADDITIONAL FEES <table border="0"> <tr> <th>FEE DESCRIPTION</th> <th>Fee Paid</th> </tr> <tr><td>Surcharge late filing of fee or oath</td><td></td></tr> <tr><td>Surcharge late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>Non-English specification</td><td></td></tr> <tr><td>For filing a request for reexamination</td><td></td></tr> <tr><td>Requesting publication or SIR prior to Examiner Action</td><td></td></tr> <tr><td>Extension for reply within first month</td><td></td></tr> <tr><td>Extension for reply within second month</td><td>\$390.00</td></tr> <tr><td>Extension for reply within third month</td><td></td></tr> <tr><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>Notice of Appeal</td><td></td></tr> <tr><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>Request for oral hearing</td><td></td></tr> <tr><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>Petition to revive - unavoidable</td><td></td></tr> <tr><td>Petition to revive - unintentional</td><td></td></tr> <tr><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>Design issue fee</td><td></td></tr> <tr><td>Plant issue fee</td><td></td></tr> <tr><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>Submissions of Information Disclosure Statement</td><td></td></tr> <tr><td>Recording of each patent assignment per property (times number of properties)</td><td></td></tr> </table>		FEE DESCRIPTION	Fee Paid	Surcharge late filing of fee or oath		Surcharge late provisional filing fee or cover sheet		Non-English specification		For filing a request for reexamination		Requesting publication or SIR prior to Examiner Action		Extension for reply within first month		Extension for reply within second month	\$390.00	Extension for reply within third month		Extension for reply within fourth month		Extension for reply within fifth month		Notice of Appeal		Filing a brief in support of an appeal		Request for oral hearing		Petition to institute a public use proceeding		Petition to revive - unavoidable		Petition to revive - unintentional		Utility issue fee (or reissue)		Design issue fee		Plant issue fee		Petitions to the Commissioner		Petitions related to provisional applications		Submissions of Information Disclosure Statement		Recording of each patent assignment per property (times number of properties)	
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FEE CALCULATION 1. Basic Filing Fee: <table border="0"> <tr> <th>Large Entity Fee Code</th> <th>Large Entity Fee (\$)</th> <th>Small Entity Fee Code</th> <th>Small Entity Fee (\$)</th> <th>Description</th> <th>Fee Paid</th> </tr> <tr> <td>101</td> <td>710.00</td> <td>201</td> <td>35.00</td> <td>Utility filing fee</td> <td><u>710.00</u></td> </tr> <tr> <td>106</td> <td>320.00</td> <td>206</td> <td>160.00</td> <td>Design filing fee</td> <td>_____</td> </tr> <tr> <td>107</td> <td>490.00</td> <td>207</td> <td>245.00</td> <td>Plant filing fee</td> <td>_____</td> </tr> <tr> <td>108</td> <td>710.00</td> <td>208</td> <td>355.00</td> <td>Reissue filing fee</td> <td>_____</td> </tr> <tr> <td>114</td> <td>150.00</td> <td>214</td> <td>75.00</td> <td>Provisional filing</td> <td>_____</td> </tr> <tr> <td colspan="5">SUBTOTAL (1)</td> <td>\$ 710.00</td> </tr> </table>		Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Description	Fee Paid	101	710.00	201	35.00	Utility filing fee	<u>710.00</u>	106	320.00	206	160.00	Design filing fee	_____	107	490.00	207	245.00	Plant filing fee	_____	108	710.00	208	355.00	Reissue filing fee	_____	114	150.00	214	75.00	Provisional filing	_____	SUBTOTAL (1)					\$ 710.00								
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2. EXTRA CLAIMS FEES <table border="0"> <tr> <th>Total Claims</th> <th>Extra Claims</th> <th>Fee</th> <th>Fee Paid</th> </tr> <tr> <td>7 - 20 = 0</td> <td>x 18.00 =</td> <td>\$ 0.00</td> <td></td> </tr> </table> Independent Claims 2 - 3 = 0 x 80.00 = \$ 00.00 SUBTOTAL (2) \$ <u>00.00</u>		Total Claims	Extra Claims	Fee	Fee Paid	7 - 20 = 0	x 18.00 =	\$ 0.00		Filing submission after final rejection (37 CFR 1.129(a)) For each additional invention to be examined (37 CFR 1.129(b)) Other fee (specify): _____ Other fee (specify): _____																																									
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SUBMITTED BY	
 Joseph A. Sawyer, Jr., Reg. No. 30,801 Attorney for Applicant(s)	8/28/01 Date

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